

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371**

U.S. APPLICATION NO. (If known see 37 C.F.R. 1.5)

09/744113

INTERNATIONAL APPLICATION NO.

PCT/EP00/04517

INTERNATIONAL FILING DATE

18 MAY 2000

(EARLIEST) PRIORITY DATE CLAIMED

19 MAY 1999

TITLE OF INVENTION

**METHOD FOR PROVIDING A SUBSTRATE STRUCTURE FOR
ORIENTED NEURITE GROWTH, SUBSTRATE STRUCTURE, AND
DEVICE FOR MONITORING NEURONS**

APPLICANT(S) FOR DO/EO/US

Gabriele NELLES and Akio YASUDA

Applicants herewith submit to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to promptly begin national examination procedures (35 U.S.C. 371(f)).
4. ☐ The US has been elected by the expiration of 19 months from the priority date (PCT Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☒ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☐ A English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 16 below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A **FIRST** preliminary amendment.
14. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
15. ☐ A substitute specification.
16. ☒ A change of power of attorney and/or address letter.
16. ☒ Other items or information:

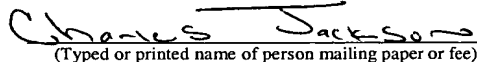
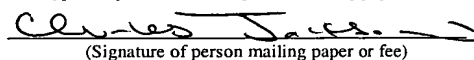
PCT/ISA/210

3 Sheets of Drawings

EXPRESS MAILMailing Label Number: **EL742665822US**Date of Deposit: **January 18, 2001**

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PCT/EP00/04517

7-03033

09/744113

17. ☒ The following fees are submitted

(CALCULATIONS /PTO USE ONLY)

Basic National Fee (37 CFR 1.492(a)(1)-(5):

Neither international preliminary examination fee (37 CFR 1.482)

nor international search fee (37CFR 1.445(a)(2)) paid to USPTO

and International Search Report not prepared by the EPO or JPO \$1,000.00

International preliminary examination fee (37 C.F.R. 1.482) not paid to

USPTO but International Search Report prepared by the EPO or JPO \$ 860.00

International preliminary examination fee (37 CFR 1.482) not paid to USPTO but

International search fee (37 CFR 1.445(a)(2)) paid to USPTO \$ 710.00

International preliminary examination fee paid to USPTO (37 CFR 1.482)

but all claims did not satisfy provisions of PCT Article 33(1)-(4)..... \$ 690.00

International preliminary examination fee paid to USPTO (37 CFR 1.482)

and all claims satisfied provisions of PCT Article 33(1)-(4)..... \$ 100.00

ENTER APPROPRIATE BASIC FEE AMOUNT = (\$ 860.00)Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30 (\$
months from the earliest claimed priority date (37 CFR 1.492(e)).73 Claims /Number Filed / Number Extra /Rate (\$Total Claims / 73 - 20 = / 53 /X \$18.00 (\$ 954.00Independent Claims / 3 - 3 = / 0 /X \$80.00 (\$ 000.00

MULTIPLE DEPENDENT CLAIM(S) (if applicable) /+ \$270.00 (\$

TOTAL OF ABOVE CALCULATIONS = (\$1,814.00☐ Applicant claims small entity status. See 37 C.F.R. 1.27. The fees indicated above
are reduced by 1/2. (\$**SUBTOTAL = (\$1,814.00**Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30 (\$
months from the earliest claimed priority date (37 CFR 1.492(f)). +**TOTAL NATIONAL FEE = (\$1,814.00**Fee for recording the enclosed assignments (37 CFR 1.21(h)). The assignment must be (\$
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property + (\$**TOTAL FEES ENCLOSED = (\$1,814.00**(Amount to be: \$
refunded:

(charged: \$

a. ☒ A check in the amount of \$1,814.00 to cover the above fees is enclosed.b. ☐ Please charge my Deposit Account No. _____ in the amount of \$_____ to cover the above fees.

A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit

Account No. 50-0320. A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the
application to pending status.

SEND ALL CORRESPONDENCE TO:

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FROMMER LAWRENCE & HAUG LLP
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NEW YORK, NEW YORK 10151**

Dated: January 18, 2001

SIGNATURE

William S. Frommer
NAME25,506
REGISTRATION NUMBER

09/744113

JCO2 Rec'd PCT/PTO 18 JAN 2001

Attorney Docket No. 450117-03033

New Patent Application filed **January 18, 2001**, entitled:

**METHOD FOR PROVIDING A SUBSTRATE STRUCTURE
FOR ORIENTED NEURITE OUTGROWTH, SUBSTRATE
STRUCTURE, AND DEVICE FOR MONITORING NEURONS**

corresponding to PCT Application No. PCT/EP00/04517

filed May 18, 2000

Express Mail No.: EL742665822US

Date of Deposit: January 18, 2001

I hereby certify that this application is being deposited with the United States
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Charles Jackson